

## RECORDS RETENTION SCHEDULE

General ~~SECRET~~  
28932Submit three copies to: Department of General Services, California Records and Information Management, 707 Third St. 2<sup>nd</sup> Fl., W. Sacramento, CA 95605.

A CalRIM Consultant may be reached by phone at (916) 375-4404, by fax at (916) 375-4408 or by email at CalRIM@dgs.ca.gov

(1) DEPARTMENT, BOARD OR COMMISSION Department of Health Care Services		(2) AGENCY BILLING CODE 83482		(3) PAGE 1 OF 9 PAGES	
(4) DIVISION/ BRANCH/ SECTION Utilization Management Division – San Diego Medi-Cal Field Office		(5) ADDRESS 9555 Chesapeake Drive, Suite 203, MS 4515, San Diego, CA 92123			
CHECK THE APPROPRIATE BOX					
(6) <input type="checkbox"/> New schedule of records that have never been scheduled. [Complete boxes (9) – (12)]					
(7) <input checked="" type="checkbox"/> Revising a previous schedule. [Complete boxes (13) – (16)] (A new approval number will be assigned.)					
(8) <input type="checkbox"/> Amending some pages of a previous schedule. [Complete boxes (13) – (16)] (The original approval number will remain in effect.)					
NEW SCHEDULE INFORMATION (If applicable)		(9) SCHEDULE NUMBER H06-10	(10) SCHEDULE DATE TBD	(11) NUMBER OF PAGES 9	(12) CUBIC FEET (Total Schedule) 1,213 cu. ft.
PREVIOUS SCHEDULE INFORMATION (If applicable)		(13) SCHEDULE NUMBER H97-014	(14) APPROVAL NUMBER 97 – 214	(15) APPROVAL DATE (S) 09/26/1997	(16) PAGE NUMBER(S) REVISED – ALL
(17) MISSION/FUNCTIONAL STATEMENT : See Next Page					

## PART I – AGENCY STATEMENTS

As the program manager (or person authorized to sign for the program manager) directly responsible for the records listed on this records retention schedule, I certify that all records listed are necessary and that each retention period is correct. **For revisions, all items on the previous schedule are included or accounted for on the recapitulation. Vital records identified by this schedule are protected. If protection is not currently provided but plans are underway, the details of such plans are shown in Column 45, Remarks.**

(18) SIGNATURE – MANAGER RESPONSIBLE FOR THE RECORDS Mimi Bruner		(19) TITLE Chief, Operations Support Unit		(20) PHONE NUMBER (916) 552 - 9161	(21) DATE SIGNED 12/18/07
In accordance with Government Code 14755, approval of this Records Retention Schedule by the Department of General Services is hereby requested. Retention periods shown have been established in accordance with the criteria set forth by Section 1667 of the State Administrative Manual.					
(22) SIGNATURE- RECORDS MGMT. ANALYST		(23) CLASSIFICATION Records Management Coordinator	(24) NAME (Printed or Typed) Lynsie Bahlhorn-Livertt	(25) PHONE NUMBER (916) 552 - 9155	(26) DATE SIGNED 12/21/07

## PART II – DEPARTMENT OF GENERAL SERVICES APPROVAL (Per Government Code Section 14755)

(27) SIGNATURE – CalRIM CONSULTANT J. E. Love		(28) APPROVAL NUMBER 08-019	(29) DATE SIGNED 1/22/2008	(30) EXPIRATION DATE 1/22/2013
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## PART III – ARCHIVAL SELECTION (Per Government Code Section 14755)

THE ATTACHED RECORDS RETENTION SCHEDULE:

- (31) ☐ Contains no material subject to further review by the California State Archives
- (32) ☒ Contains material subject to archival review. Items stamped "NOTIFY ARCHIVES" may not be destroyed without clearance by the California State Archives. (Per Section 1671 of the State Administrative Manual.)

(33) SIGNATURE – CHIEF OF ARCHIVES OR DESIGNATED REPRESENTATIVE  
Shirley Bailey, Archivist(34) DATE SIGNED  
Jan. 30, 2008


CALIFORNIA  
STATE ARCHIVES

CALIFORNIA DEPARTMENT OF HEALTH CARE SERVICES  
 UTILIZATION MANAGEMENT DIVISION  
 SOUTHERN FIELD OPERATIONS BRANCH  
 SAN DIEGO MEDI-CAL FIELD OFFICE  
 9555 Chesapeake Drive, MS 4515, P.O. Box 85344, San Diego, CA 92108 (619) 688-4204

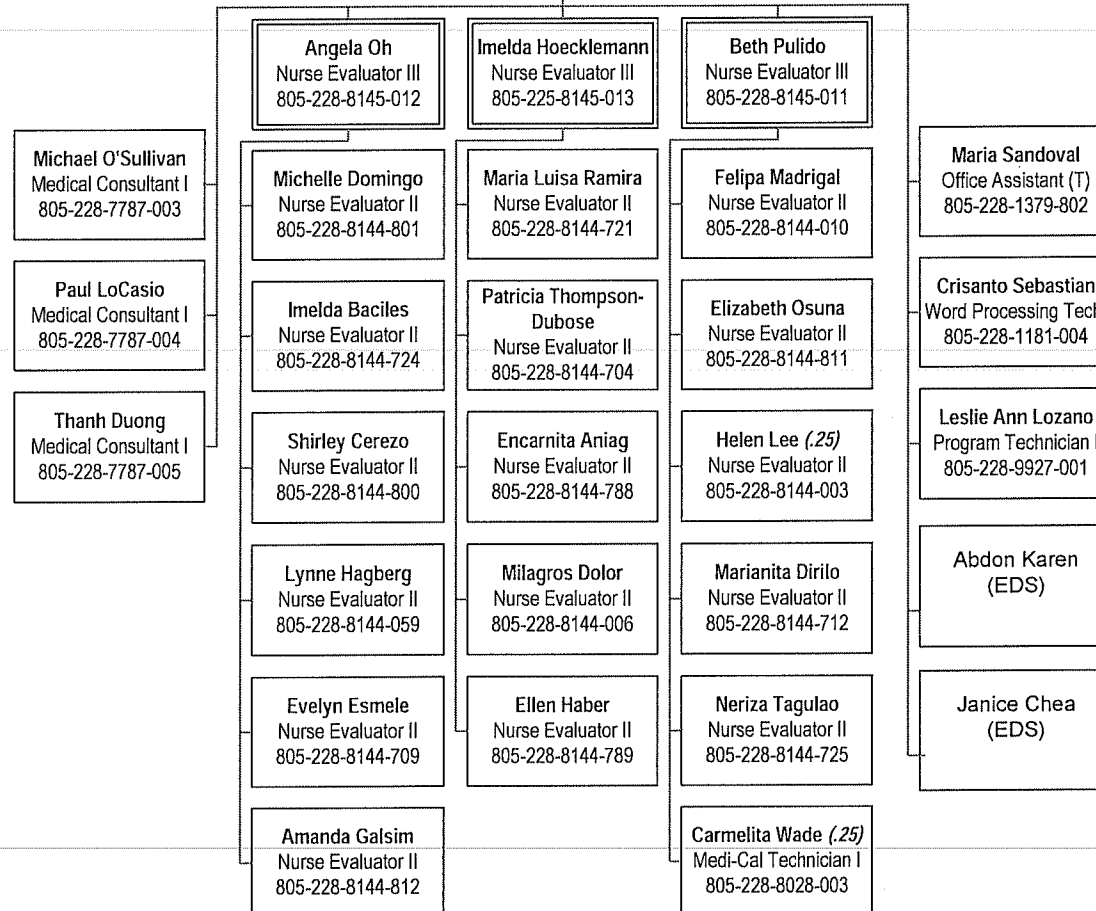
SOUTHERN FIELD OPERATIONS  
 BRANCH  
**Douglas Robins**  
 Staff Services Manager III  
 805-201-4802-002

Douglas Robins, Chief  
 Southern Field Operations Branch

Date

**Elvira Moon**  
 Medi-Cal Field Office  
 Admin. II  
 805-228-8020-001

**Shirley Rivo**  
 Office Technician (T)  
 805-228-1139-805

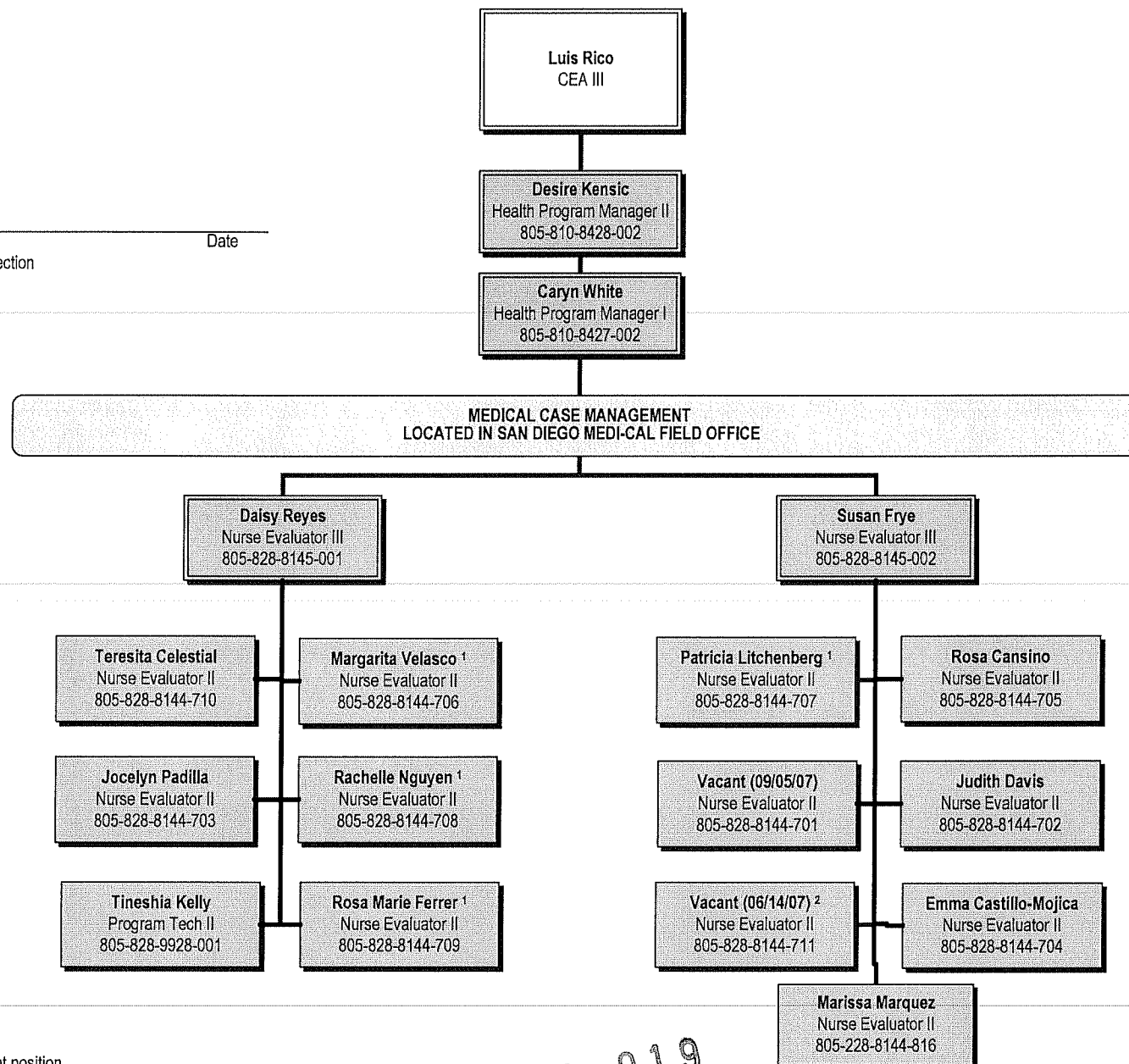


08-019

CALIFORNIA DEPARTMENT OF HEALTH CARE SERVICES  
SYSTEMS OF CARE DIVISION  
MEDICAL CASE MANAGEMENT SECTION  
LOCATED IN SAN DIEGO MEDI-CAL FIELD OFFICE  
9555 Cheasapeake Drive, MS 4515, P.O. Box 85344, San Diego, CA 92108 (619) 688 4204

Desiré Kensic, Chief  
Medical Case Management Section

Date



Medical Case Management position.

<sup>1</sup> FY 2003-04 EDSCONVERSION BCP Positions.

08-019

(35) CalRIM APPROVAL NUMBER											(36)	
08-019											Page 4 of 9	
ITEM #	CUBIC FEET *	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS  (Double spaces between items)	MEDIA	VITAL	RETENTION				PRA (Exempt) & IPA	REMARKS	
						OFFICE	DEPT.	SRC	TOTAL			
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)	

<p>Mission Statement:</p> <p>The San Diego Medi-Cal Field Office performs Utilization Review (UR) of Medi-Cal services. UR is specifically performed through the review of Provider's prior authorization requests to provide services to Medi-Cal beneficiaries. The Medical Case Management (MCM) is an extension of the Department of Health Care Services' utilization review process, and facilitates and coordinates quality care for California's Medicaid (Medi-Cal) beneficiaries suffering from chronic or catastrophic illness and/or requiring medically intensive services. The MCM Program's goals are to ensure safe medical facility discharges and to provide continuity of medical care in the homecare and/or out-patient setting by expediting authorization of these services on a statewide basis.</p> <p>The San Diego Medi-Cal Field Office is responsible for the UR of Medi-Cal beneficiaries in San Diego, Imperial and Yuma and regionalized services for Los Angeles, San Bernardino and San Diego.</p> <p>For those records which have no governing law or authority for retention cited, the authority of the manager directly responsible for the records applies.</p> <p>This schedule contains no "vital records."</p> <p>Abbreviations:  PRA - Public Records Act (Government Code 6254),  IPA - Information Practices Act (Civil Code 1798.40),  CD - Confidential Destruction, and  A - Active</p>											

\* Provide total of office and departmental

(35) CalIRIM APPROVAL NUMBER											08-019		(36) Page 5 of 9
ITEM #	CUBIC FEET *	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items)	MEDIA	VITAL	RETENTION				PRA (Exempt) & IPA	REMARKS		
						OFFICE	DEPT.	SRC	TOTAL				
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)		
			<b>Administrative Records</b>										
			<u>Activity Reports</u>										
1	6		Monthly EDS (Electronic Data Systems) Reports	C		1			1				
			<u>Conferences &amp; Committees</u>										
2	6	NOTIFY ARCHIVES	Agendas / Minutes	P		3			3				
			<u>Legal</u>										
3	6	NOTIFY ARCHIVES	General Information	P		3			3				
4	6		Waivers	P		C + 1			C + 1		Current until revised or superseded.		
5	6		Contracts	P		A + 1			A + 1		Becomes inactive when contract has expired.		
			<u>Correspondences</u>										
6	5		Chron	P		1			1				

\* Provide total of office and departmental

(35) C&IRIM APPROVAL NUMBER										(36)	
08-019										Page 6 of 9	
ITEM #	CUBIC FEET *	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS  (Double spaces between items)	MEDIA	VITAL	RETENTION				PRA (Exempt) & IPA	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)
7	5		General  <u>Personnel</u>	P		1			1		
8	21		Department Policy & Procedures	P		C + 3			C + 3		Current until revised or superseded.
9	9		Duty Statements	P		C + 1			C + 1		Current until revised or superseded.
10	9		Attendance	P		A + 2			A + 2	XI	PRA 6254; IPA 1798.40; Inactive when employee separates; Confidential Destruction.
11	9		Travel	P		2			2	XI	PRA 6254; IPA 1798.40; Confidential Destruction.
12	9		Training	P		2			2	XI	PRA 6254; IPA 1798.40; Confidential Destruction.
13	12		Employee Records	P		A + 2			A + 2	XI	PRA 6254; IPA 1798.40; Inactive when employee separates; Confidential Destruction.
14	6		<u>Policies &amp; Procedures</u>  Manuals, i.e., Policy, Procedure, Federal and State Regulation	P		Current			Current		Current until revised or superseded.

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						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)

15	5		<u>Equipment &amp; Supplies</u>	P		7			7		Retained for 7 years or until audited, whichever comes first.
			Purchase Requests / Orders								
16	5		Service Orders / Authorizations	P		4			4		Retained for 4 years or until audited, whichever comes first.
17	2		General Vendor Information	P		Current			Current		Current until revised or superseded.
18	2		<u>Records Management</u>	P		3			3		Retain 3 years from date submitted or when no longer needed for reference or analysis, whichever is later.
			Records Holdings / Disposals Annual Report and Related Documents								
19	2		Records Retention Schedule and Requests	P		Current			Current		Current until revised or superseded.
20	2		Destruction Contracts & Reports	P		4			4		Retain 2 years from date destruction authorized. Then retain 2 more years or until audited, whichever occurs first (max 4 years.)

\* Provide total of office and departmental

ITEM #	CUBIC FEET *	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items)	MEDIA	VITAL	RETENTION				PRA (Exempt) & IPA	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)

<b>PROGRAM RECORDS</b>											
21	880		Medi-Cal Provider Requests – TARs (Treatment Authorization Requests) and Documentation – for denied, modified, and approved.	P		A + 1		2	A + 3	XI	Active until approved or denied, then retained an additional 3 years (1 year in the office, 2 years at the State Records Center) PRA, IPA, CD
22	45		Provider / Facility Files	P		A + 3			A + 3	XI	PRA 6254; IPA 1798.40; Confidential Destruction.
23	45		Appeals	P		A + 7			A + 7	XI	PRA 6254; IPA 1798.40; Becomes inactive when appeal is adjudicated; Confidential Destruction.
24	9		Fair Hearings (Beneficiary Requests)	P		3			3	XI	PRA 6254; IPA 1798.40; Confidential Destruction.
25	6		EPSDT (Early Periodic Screening Diagnostic Treatment) Patient Case Files	P		A + 3			A + 3	XI	PRA 6254; IPA 1798.40; Becomes inactive when patient no longer requires services; Confidential Destruction. Per Field Office Administrator San Diego
26	84		MCM (Medical Case Management) Patient Case Files	P		A + 3			A + 3	XI	PRA 6254; IPA 1798.40; Becomes inactive when patient no longer requires services; Confidential Destruction. Per Field Office Administrator San Diego
27	2		ADHC (Adult Day Health Care) Facility Files	P		3			3	XI	PRA 6254; IPA 1798.40; Confidential Destruction.
28	2		Agency Referrals (Hospital Referrals)	P		3			3	XI	PRA 6254; IPA 1798.40; Confidential Destruction. Per Field Office Administrator San Diego

\* Provide total of office and departmental



ITEM # (37)	CUBIC FEET * (38)	CA. STATE ARCHIVES USE ONLY (39)	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items) (40)	MEDIA (41)	VITAL (42)	RETENTION				PRA (Exempt) & IPA (47)	REMARKS (48)
						OFFICE (43)	DEPT. (44)	SRC (45)	TOTAL (46)		

29	2		Home Visit Patient Case Files	P		3			3	XI	PRA 6254; IPA 1798.40; Confidential Destruction. Per Field Office Administrator San Diego
30	2		Hospital FAX Program Patient Case Files	P		3			3	XI	PRA 6254; IPA 1798.40; Confidential Destruction. Per Field Office Administrator San Diego
31	3		Hospital Contracts	P		A + 3			A + 3	XI	PRA 6254; IPA 1798.40; Becomes inactive when hospital closes; Confidential Destruction.
		<b>1,213</b>	<b>TOTAL CUBIC FOOTAGE</b>								

\* Provide total of office and departmental